

C.7.9.4 While physically standing at the appropriate shoe cases, the Contractor shall, document-by-document, (1) compare the patent number printed on the face of the patent to the patent number printed on the patent's label and (2) compare the patent number printed on the face of the patent to the computer-generated listing. If a label shows a classification outside of the inventory project scope, the Contractor shall remove these misfiled documents from the shoes, bundle the documents together, and label the bundle Misfiles.

C.7.9.5 If the patent number on the document and the label agree and also is shown on the computer listing, the Contractor shall place a check mark on the listing next to the patent number and shall leave the document in the shoes. If the patent number on the document and the label do not agree but the patent number on the document is shown on the computer listing, the Contractor shall place the letters "ML" next to the number on the listing. In addition, the Contractor shall remove these mislabeled documents from the file, bundle the documents together, and identify the bundle as Mislabeled. If the patent number on the document and the label agrees but the number is not shown on the computer listing, the Contractor shall write the patent number for each found document on the bottom of the listing. In addition, the Contractor shall remove these documents from the file, bundle the documents together, and identify the bundle as Founds. The Contractor shall place an M next to any patent number for which there is not a document present in the shoes.

C.7.9.6 The Government will conduct a daily preliminary inspection of the Contractor's work in accordance with Section E. At the time of inspection, the Contractor shall return to the Government the bundles of Misfiles, Mislabeled, and Founds along with the annotated computer listings. The Government will verify the bundle of Misfiles which will then be returned to the Contractor who shall deliver the documents to the nearest designated pickup location for refiling.

C.7.9.7 The Government will notify the Contractor immediately following inspection as to the acceptability of the work. In case of unacceptable performance, the Contractor shall correct the deficiency(ies) within 8 work hours and request reinspection.

C.7.9.8 Three days following the initial inventory, the Contractor shall verify that documents initially identified as missing are still missing from the shoes in the ESF. The Contractor shall, using copies of the previously marked computer listing, determine the presence or absence of previously missing documents. Documents now present shall have a line drawn through the M previously placed next to the patent number on the listing.

C.7.9.9 The Contractor shall request final inspection of the work, at which time the marked computer listing copies shall be returned to the Government.

C.7.10 FILE INTEGRITY (CLIN 8)

C.7.10.1 File Integrity has as its objective the physical restoration of the Public and Examiner paper search files and the reconciliation of data contained on the automated master files. Work is performed first on the project classifications from the ESF, then on the project classifications from the PSF.

C.7.10.2 Examiner Search File

C.7.10.2.1 The Government shall identify the project scope and shall issue an NOA. In accordance with the monthly Processing Schedule and following receipt of the NOA, the Contractor shall arrange to remove the ESF set of patent copies from their designated location. Actual removal of the documents shall not occur except in the presence of the PTO Project Leader, as designated on the NOA, who will verify the removal of only those documents specified in the NOA. All Government furnished materials required to complete processing of this project will be provided to the Contractor at this time. The Contractor shall post a sign on the appropriate shoe case(s) notifying the Examiners what art has been removed for File Integrity processing and providing the scheduled return date.

C.7.10.2.2 During the course of processing, the Contractor shall identify patents which are recognizable as belonging to classifications outside the project scope (i.e., Misfiles) and patents which are found in the project but are not of record on the Government-supplied materials (i.e., Founds). These documents shall be removed from the project, bundled, and the bundles identified as Misfiles and Founds. In addition, the Contractor shall annotate the Founds as to the classification from where they were removed. During processing, the Contractor also shall identify patents which are recognizable as belonging to classifications within the scope of the project but which do not belong to the particular classification in which the copies were found. The Contractor shall place these patent copies with the correct classification as identified from the patent label.

C.7.10.2.3 The Contractor shall attach the new classifications labels provided by the Government to the corresponding patent copy(ies). The Contractor shall ensure that all existing patent copies used meet the standards for an acceptable copy as defined in section C9.1. Any copies which do not meet these standards shall be repaired or replaced by the Contractor. The Contractor shall bundle together any replaced documents and identify the bundle as Bad Copies. During the course of labeling documents, the Contractor shall identify any labels for which there is no patent copy present in the ESF (i.e., Missings). The Contractor shall hold all such labels until processing of the PSR set is done. The Contractor shall prepare a list of all Missing patents and provide the list to the Government at inspection.

C.7.10.2.4 The Contractor shall complete a Project Discrepancy Report for the project and shall notify the Government when the ESR set is ready for inspection. The Government will conduct the preliminary inspection at the Contractor's facility in accordance with Section E. At the time of this inspection, the Contractor shall return to the Government any Bad Copies, Founds, and Misfiles located during project processing along with the completed Project Discrepancy Report and the list of Missing patents. The Contractor shall retain the labels for the Missing patents.

C.7.10.2.5 After preliminary acceptance of the work, the Contractor shall deliver the relabeled documents to the specified location(s) and shall place the patents in the assigned shoes in accordance with section C.9.2.

C.7.10.3 Public Search File

C.7.10.3.1 In accordance with the monthly Processing Schedule and following receipt of the NOA, the Contractor shall arrange to remove the PSF set of patent copies from their designated location. Actual removal of the documents shall not occur except in the presence of the PTO Project Leader, as designated in the NOA, who will verify the removal of only those documents specified in the NOA.

C.7.10.3.2 During the course of processing, the Contractor shall identify patents which are recognizable as belonging to classifications outside the project scope (i.e., Misfiles) and patents which are found in the project but are not of record on the Government-supplied materials (i.e., Founds). These documents shall be removed from the project, bundled, and the bundles identified as Misfiles and Founds. In addition, the Contractor shall annotate the Founds as to the classification from where they were removed. During processing, the Contractor also shall identify patents which are recognizable as belonging to classifications within the scope of the project but which do not belong to the particular classification in which the copies were found. The Contractor shall place these patent copies with the correct classification as identified from the patent label.

C.7.10.3.3 The Contractor shall attach the new classifications labels provided by the Government to the corresponding patent copy(ies). The Contractor shall ensure that all existing patent copies used meet the standards for an acceptable copy as defined in section C9.1. Any copies which do not meet these standards shall be repaired or replaced by the Contractor. The Contractor shall bundle together any replaced documents and identify the bundle as Bad Copies. During the course of labeling documents, the Contractor shall identify any labels for which there is no patent copy present in the ESF project set (i.e., Missings). If the corresponding ESF label has been used, the Contractor shall obtain a copy of the patent from the previously processed ESF set. In addition, using the PSR set of documents, the Contractor shall obtain copies of those documents previously identified as Missing during processing of the ESF set of patents.

C.7.10.3.4 The Contractor shall obtain a complete and legible patent copy in accordance with section 4.6 for any patent number where both the ESR and PSR labels remain among the Government furnished materials. The Contractor shall bundle the unused labels and the corresponding patent copies and identify the bundle as Double Missings.

C.7.10.3.5 The Contractor shall complete a Project Discrepancy Report for the project and shall notify the Government when the PSR set is ready for inspection. The Government will conduct the preliminary inspection at the Contractor's facility in accordance with Section E. At the time of this inspection, the Contractor shall return to the Government any Bad Copies, Founds, Misfiles, and Double Missings located during project processing along with the completed Project Discrepancy Report. After acceptance of the work by the Government, the Contractor shall box the project patents in patent number sequence within classification, label the boxes as to their content, and deliver the PSR set of patents to the location specified by the Government.

C.7.10.3.6 The Contractor shall file in the appropriate location(s) the ESR patent copies obtained under the preceding paragraph C7.10.3.3. Following completion of this work, the Government will conduct a final inspection of the Contractor's work in accordance with Section E.

C.7.11 LOCATING PATENT COPIES (CLIN 9)

C.7.11.1 Locating Patent Copies involves locating and reproducing one copy each of patent documents needed to complete Reclassification or SFQI projects or as otherwise requested by the Government.

C.7.11.2 As needed to complete project processing, the Contractor shall obtain missing or replacement patent copies without further authorization or instructions. All patent copies required to complete project processing must be obtained and incorporated into the project within the specified timeframe allowed for any given project. The Contractor shall exhaust all available means for obtaining patent copies within the time allowed for project processing. The Contractor shall ensure that all copies obtained meet the requirements set forth in section C.9.1 for an acceptable patent copy. The following are some, but not all, potential sources of patent copies:

- Public Search File
- Examiner Search File
- Bound Volumes in the Scientific and Technical Information Center, and
- PTO Microfilm Files.

If missing or replacement patent copies cannot be located prior to project completion, the Contractor shall notify the COTR or her designee prior to inspection.

C.7.11.3 The Contractor shall avoid disruption to the search files when removing patents for reproduction. No more than 20 documents shall be removed from a class at any one time unless special arrangements have been made with the PTO Project Leader. In all cases, any patent removed from the search files for copying shall be returned to the place from which it was removed within 1 work day. The Contractor shall not count documents removed from the ESF for copying as part of the daily refiling.

C.7.11.4 Locating and reproducing patent copies for other than project processing purposes will be authorized through use of an NOA or direct authorization from the COTR. The scheduled completion time for any such work will be mutually agreed to in advance by the COTR and the Contractor. Completed work will be inspected by the Government for quality, completeness, and conformance with requirements.

C.7.11.5 Whenever possible, the contractor shall obtain needed US patent copies (including additional copies) from the APS system using the high-speed printers. These copies shall be printed on 28 lb. paper with a printer-generated classification label appearing in the upper left corner of the first page of the patent.

C.7.12 U.S. PATENT REPRODUCTION (CLIN 10)

C.7.12.1 U.S. Patent Reproduction has as its objective the reproduction of patent documents needed to complete Reclassification or SFQI processing, or as otherwise ordered by the Government to ensure integrity of the paper or automated search file.

C.7.12.2 As needed to complete project processing, the Contractor shall, without further authorization, reproduce additional copies or copies needed to replace nonrepairable bad copies where the copy in hand

can be photocopied. All patent copies required to complete project processing must be obtained and incorporated into the project within the specified timeframe allowed for any given project. The Contractor shall ensure that all copies reproduced meet the requirements set forth in section C.9.1 for an acceptable patent copy.

C.7.12.3 Reproducing patent copies for other than project processing purposes will be authorized through use of an NOA or direct authorization from the COTR. The scheduled completion time for any such work will be mutually agreed to in advance by the COTR and the Contractor. Completed work will be inspected by the Government for quality, completeness, and conformance with requirements.

C.7.13 FOREIGN PATENT REPRODUCTION (CLIN 11)

C.7.13.1 Foreign Patent Reproduction involves copying of selected foreign patent documents or other materials as requested by the Government. The Government will provide space at PTO facilities for Contractor personnel and equipment needed to perform the Foreign Patent Reproduction function.

C.7.13.2 The Government will authorize work under this line item through use of an NOA or direct authorization from the COTR.

C.7.13.3 The Contractor shall make copy(ies) of specified documents and shall, at a minimum, (1) prepare documents for copying by removing staples, brads, stitching, etc.; (2) quality check completed work to ensure the accuracy, completeness, and usability of copies produced; (3) reassemble original documents; and (4) assemble all copies as directed. The Contractor shall ensure that all reproduced copies meet the standards set forth in section 9.1:

C.7.13.4 The Contractor shall ensure that the original documents and all reproduced copies remain together in the same order and batch as received from the Government.

C.7.13.5 The Government will inspect the work in accordance with Section E. Unacceptable work will be returned to the Contractor who shall redo the work within 16 work hours at no cost to the Government.

C.8 OPTIONAL REQUIREMENTS

C.8.1 The Contractor shall perform optional work requirements which include reference copying, document mailing, application file retrieval, maintenance of application file storage areas, PCT copying, and PCT file room maintenance. The initial implementation dates for each optional work requirement will be provided to the Contractor 30-60 days before the actual startup date. The Government reserves the right to implement the optional work requirements simultaneously or at various times or on a Group-by-Group basis during the life of the contract.

C.8.1.1 During the first 30 days after notification of startup, the Contractor shall obtain all necessary personnel, equipment, and all other items/services necessary to perform the optional work requirement. The Government will provide training, not to exceed 80 hours of Government staff time, for the Contractor's key personnel.

C.8.1.2 During the second stage, which shall commence on the 31st day after notification of startup, the Contractor shall implement the training program which was approved at contract award. In addition, the Contractor shall provide dates for assuming responsibility for the optional work requirement(s). The Government will review and approve the final plan and training materials intended for use by the Contractor.

C.8.2 REFERENCE COPYING (CLIN 12)

C.8.2.1 Reference Copying has as its objective the provision of document copies to be included in office actions mailed to patent applicants. This is accomplished by reproduction of documents identified by patent examiners during the examining process. Section J, exhibit 15 shows historical copying volumes for FY 92; exhibit 16 shows estimated copying volumes, by Group, for FY 95-99. In each PTO building in which patent examining groups are housed, the Government will provide space for Contractor personnel and Contractor-provided equipment needed to perform this function. Failure to provide complete and accurate copies of references to applicants may require PTO to allow an applicant additional time to respond to the office action.

C.8.2.2 Between 9:00 and 10:00 a.m. and 1:00 and 2:00 p.m. each workday, the Contractor shall remove from locations specified by the Government application files containing materials to be copied and a form PTO-892 (see Section J, exhibit 17) containing instructions on the number of copies required. The Contractor shall record the date and time of each document pickup on a Contractor's Daily Log Sheet--Reference Copying form (see Section J, exhibit 18) which will be provided by the Government at each designated pickup location. The completed log sheets will be collected by the Government Representative at the end of each biweek. At the conclusion of each workday, the Contractor shall record the daily meter reading for each copier machine on a Daily Count Sheet--Reference Copying for (see Section J, exhibit 33). The Contractor also shall complete the Daily Count Sheet to reflect the daily count of images, documents and rework images for each Technology Center and associated totals by building.

C.8.2.3 The Contractor shall take all such files to the designated copying centers and shall immediately record the file's location in the PALM system. If the PALM system is non-operational, the Contractor shall notify the COTR or her designee immediately and then shall proceed to perform the required copying. The Contractor shall disassemble, reproduce, and reassemble all documents provided for copying. Copies may be simplex or duplexed. All reproduced copies shall be stapled with one staple placed in the upper left hand corner and shall be inserted in the appropriate application file. The file shall be secured with a rubber band by the Contractor as necessary.

C.8.2.4 The Contractor shall verify that all references listed for copying are available in the application file. If listed references are missing, the Contractor shall copy those references available and then shall return the file to the Government Representative. The Contractor shall insure all copies meet the standards set forth in section C.9.1.

C.8.2.5 The Contractor shall insure that all files removed from the designated pickup locations are returned according to the following schedule.

--Files picked up in the morning: Reproduction shall be completed and the file and all reproduced copies returned to the designated location no later than the following afternoon's pickup period (e.g., files

picked up between 9:00 a.m. and 10:00 a.m. Monday shall be returned Tuesday during the 1:00 p.m. to 2:00 p.m. pickup).

--Files picked up in the afternoon: Reproduction shall be completed and the file and all reproduced copies returned to the designated location no later than the morning pickup period, 2 days later (e.g., files picked up between 1:00 p.m. and 2:00 p.m. on Tuesday shall be returned Thursday during the 9:00 a.m. to 10:00 a.m. pickup).

--Original copy of references: The original copy of patent documents reproduced shall be returned to the appropriate refiling pickup location at the same time the application files are returned to the designated location.

C.8.2.6 The Government will inspect the Contractor's work in accordance with the Inspection and Acceptance Plan in Section E. Unacceptable work shall be redone by the Contractor within 4 work hours at no cost to the Government.

C.8.2.7 The contractor shall staff the PTO Walkup Copy Center currently located in Crystal Plaza 2. Using Government-provided reproduction equipment, the copy operator shall perform requested copying. As required, the contractor shall disassemble and reassemble all documents provided for copying; copies shall be reproduced and assembled in accordance with instructions. The contractor shall provide assistance to users of the walkup copier as needed. The contractor shall be responsible for routine maintenance (e.g., replacing toner) of the copy center copiers and when necessary shall call the designated individual to request repairs and service.

C.8.3

C.8.3.1 **RESERVED**

C.8.3.2 **PCT Documents** (CLIN 13r)

C.8.3.2.1 Between 8:00 and 9:00 a.m. and 12 noon and 1:00 p.m. each workday, the contractor shall retrieve mailing work from designated locations. All files picked up in any given day must be processed and ready for that day's last mail pickup.

C.8.3.2.2 To process Document Management Division (DMD) materials: Contractor shall date stamp form letters with current date, make required copies of each letter and associated attachments, insert the original letter and attachments into the file jacket, place a copy of the letter and attachments in a window envelope, securely seal the envelope, and place the sealed envelope in the designated pickup location; additional copies will be mailed as required.

C.8.3.2.3 To process Designated Office/Elected Office Division (DO/EO) materials: Using PALM equipment, the contractor shall scan appropriate bar codes then shall generate the correct form letter using the PALM printer. The contractor shall make additional copies of each letter and associated attachments, place the original letter and attachments into the file jacket, place a copy of the letter and attachments in a window envelope, securely seal the envelope, and place the sealed envelope in the designated pickup location; additional copies will be mailed as required. After recording the filing date on the file wrapper, the contractor shall place the file in the designated location.

C.8.3.2.4 To process International Application Processing Division (IAPD) materials: The contractor shall quality check to insure the required number of copies are present and applicant information is correct, date stamp each form as appropriate, assemble two to five sets of copies as directed by the Government and place in designated locations, record the form number and the mailing date on the file wrapper, and insure appropriate information is entered into PALM.

C.8.3.2.5 To process Substitute Sheets: The contractor shall batch documents for copying and forward materials to the PCT copy center, quality check completed copies and insure the required number are available, date stamp each form as appropriate, record the form number and mailing date on the file wrapper, and assemble the requested number of sets. One set shall be inserted in the Home Copy file wrapper and any remaining sets placed in the designated locations.

C.8.3.2.6 The contractor shall insure that all materials inserted into window envelopes for mailing have their address readily visible and are securely sealed.

C.8.3.2.7 The Government will inspect the contractor's work in accordance with the Inspection and Acceptance Plan set forth in Section E. The contractor shall, within 8 work hours, correct any deficiencies identified during inspection at no additional cost to the Government.

C.8.4 APPLICATION FILE RETRIEVAL (CLIN 14)

C.8.4.1 Application File Retrieval has as its objective the association of documents pertaining to patent applications with the appropriate application file ("file wrapper"). This is accomplished by locating the file in a central storage area and inserting the documents. Section J, exhibit 23 shows the estimated work volumes for file retrieval, by Group, for FY 95-99.

C.8.4.2 The Government will bundle documents to be processed by the Contractor into groups of approximately 50 documents and shall associate an Application File Retrieval Batch Sheet (see Section J, exhibit 24) with each bundle. Each bundle will have a turnaround time of either 1 work hour or 8 work hours designated on the batch sheet.

C.8.4.3 Between 9:00 and 10:00 a.m. and 1:00 and 2:00 p.m. each work day, the Contractor shall remove from locations specified by the Government bundles of documents to be associated with application files. The Contractor shall record the date and time of each document pickup on a Contractor's Daily Log Sheet--Application File Retrieval form (see Section J, exhibit 25) which will be provided by the Government at each designated pickup location.

C.8.4.4 The Contractor shall, within the designated timeframe, locate any of the required application file(s) which are in the file storage room and shall insert the pertinent document(s) into the file. For each application file located, the Contractor shall update the PALM system with the appropriate transaction and shall then deliver the files to the designated location(s).

C.8.4.5 Using the information contained in the PALM system, the Contractor shall determine the location of any required file not found in the file storage room and, for each file, shall note this information on an Application Location Information--US Application sheet (see Section J, exhibit 26).

The Contractor shall associate each Application Location Information sheet with the appropriate document and batch sheet which shall then be completed as appropriate and forwarded to the designated Government Representative.

C.8.4.6 For bundles whose batch sheet indicates an 8-hour turnaround, the Contractor shall insure that all located files or completed Application Location Information sheets are delivered according to the following schedule.

--Documents picked up in the morning: Applications shall be located and the correct document(s) associated with each file and the file delivered to the designated location no later than the following morning's pickup period (e.g., files picked up between 9:00 a.m. and 10:00 a.m. Monday shall be returned Tuesday during the 9:00 a.m. to 10:00 a.m. pickup). The Contractor also shall adhere to this schedule for delivery of Application Location Information sheets for files not located.

--Files picked up in the afternoon: Applications shall be located and the correct document(s) associated with each file and the file delivered to the designated location no later than the following afternoon's pickup (e.g., files picked up between 1:00 p.m. and 2:00 p.m. on Tuesday shall be returned Wednesday during the 1:00 pm. to 2:00 pm. pickup). The Contractor also shall adhere to this schedule for delivery of Application Location Information sheets for files not located.

C.8.4.7 As directed by the Government Representative, the Contractor shall locate and remove from the storage area those application files listed on a Government-provided report and shall deliver the files to the location specified by the Government Representative. The amount of time allowed for this work will be mutually agreed upon by the COTR and the Contractor prior to initiation of the work.

C.8.4.8 The Contractor's work will be inspected in accordance with the Inspection and Acceptance Plan set forth in Section E.

C.8.5 MAINTENANCE OF APPLICATION FILE STORAGE AREAS (CLIN 15)

C.8.5.1 Maintenance of the Application File Storage Areas has as its objective the daily control and ready retrieval of the nonclassified patent application files assigned to each examining group. This is accomplished through the orderly maintenance of files in one or more centralized storage areas in each Group. Currently, there are 12 application file storage areas in the Technology Centers. Application files are added to and taken out of the file rooms as needed for examination and processing purposes and when new cases are received. Section J, exhibit 62 shows the estimated average number of applications files in each Examining Groups storage area; exhibit 63 shows the estimated number of applications requiring filing.

C.8.5.2 The Contractor shall insure that all files received at the storage area are filed in their correct location within 8 work hours of receipt. In addition, the Contractor shall insure that each file's location is correctly entered into the PALM system prior to filing the application. If the PALM system is non-operational, the Contractor shall notify the Government Representative and shall suspend all placement of application files into the racks until such time as each file's location can be entered into the PALM system.

C.8.5.3 At least once each biweek, or as requested by the Government, the Contractor shall survey all file storage racks for misfiles and shall insure the condition of the storage room is in conformance with Government requirements. The Contractor shall complete this survey within 8 work hours. In addition, the Contractor shall shift application files within the storage room as necessary to insure adequate space and proper filing of application files. The Contractor shall immediately notify the Government Representative if insufficient storage space or devices are available in the storage area.

C.8.5.4 During January of each year, the Contractor shall conduct a full inventory of each file storage room's contents by entering the information for each application file into the PALM system.

C.8.5.5 The Contractor shall ensure that all contractor personnel working in a file storage area sign in and out of the area on the log sheets provided by the Government for this purpose.

C.8.5.6 The Government will inspect the Contractor's work in accordance with the Inspection and Acceptance plan set forth in Section E. The Contractor shall, within 8 work hours, correct any deficiencies identified during inspection.

C.8.6 PCT COPYING

C.8.6.1 PCT REPRODUCTION (CLIN 16a)

PCT Copying has as its objective the provision of document copies in support of PTO's Patent Cooperation Treaty Office. The Government will provide space for contractor personnel and equipment needed to perform this function. Section J, exhibit 75 contains estimated work volumes.

C.8.6.1.1 The Government will prepare documents for copying by attaching the appropriate, properly completed batch sheet (see Section J, exhibits 27, 67, 68, and 69). Copying requests may be delivered to the copy center or placed in the designated pickup location for retrieval by the Contractor during scheduled pickup/delivery times. For copying requests to be picked up by the Contractor, the Government will annotate each batch sheet's date line with a.m. or p.m. to indicate the time of day the work will be picked up by the Contractor.

C.8.6.1.2 At 10:00 a.m. and 3:00 p.m. each workday, the Contractor shall remove from the locations specified by the Government copying requests which contain completed batch sheets. The Contractor shall record the date and time of each pickup on a Contractors Daily Log Sheet-PCT (see Section J, Exhibit 70) which will be provided by the Government at each designated pickup location. The completed log sheets will be collected by the Government Representative at the end of each bi-week.

C.8.6.1.3 The Contractor shall take all copying requests to the copy center, shall, for all application files, immediately record the file's location in the PALM system, and shall date/time stamp each batch sheet. If the PALM system is non-operational, the Contractor shall notify the Government Representative immediately and then shall proceed to perform the required copying. The Contractor shall disassemble, reproduce and reassemble all documents provided for copying. The Contractor shall reduce any oversize original document as necessary to